

**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☒ Declaration Submitted with Initial Filing **OR** ☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number

091/006C

First Named Inventor

Melissa K. Carpenter, et al.

COMPLETE IF KNOWN

Application Number

/ [to be assigned]

Filing Date

[herewith]

Group Art Unit

[to be assigned]

Examiner Name

[to be assigned]

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Techniques for Growth and Differentiation of Human Pluripotent Stem Cells

(Title of the Invention)

the specification of which

☒ is attached hereto and is amended by the attached Preliminary Amendment.

OR

☐ was filed on (MM/DD/YYYY) [] as United States Application Number or PCT International

Application Number [] and was amended on (MM/DD/YYYY) [] (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 4]

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DECLARATION — Utility or Design Patent Application

Direct all correspondence to: ☒ Customer Number or Bar Code Label  OR ☐ Correspondence address below

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Name

PATENT TRADEMARK OFFICE

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR : ☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any])

Melissa K.

Family Name
or Surname

Carpenter

Inventor's
Signature

MK Carpenter

Date *5/4/01*

Residence: City

Castro Valley

State

California

Country

US

Citizenship

US

Mailing Address

20750 Edgewood Circle

City

Castro Valley

State

California

ZIP

94552

Country

US

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any])

Walter D.

Family Name
or Surname

Funk

Inventor's
Signature

Walter D. Funk

Date *5.08.01*

Residence: City

Hayward

State

California

Country

US

Citizenship

CA

Mailing Address

25432 Modoc Court

City

Hayward

State

California

ZIP

94542

Country

US

☒ Additional inventors are being named on the 2 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

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DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/>		Customer Number or Bar Code Label		022869		OR <input type="checkbox"/>		Correspondence address below			
Name											
Address											
City				State		ZIP					
Country			Telephone				Fax				
<p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>											
NAME OF SOLE OR FIRST INVENTOR :				<input type="checkbox"/> A petition has been filed for this unsigned inventor							
Given Name (first and middle [if any])				Joseph D.		Family Name or Surname				Gold	
Inventor's Signature						<i>Joseph D. Gold</i>				Date 5/3/02	
Residence: City		San Francisco		State		California		Country		US	
Citizenship		US									
Mailing Address											
City		San Francisco		State		California		ZIP		94110	
Country		US									
NAME OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor							
Given Name (first and middle [if any])				Margaret S.		Family Name or Surname				Inokuma	
Inventor's Signature						<i>Margaret S. Inokuma</i>				Date 5/4/01	
Residence: City		San Jose		State		California		Country		US	
Citizenship		US									
Mailing Address											
City		San Jose		State		California		ZIP		95131	
Country		US									
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>1</u> supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.											

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/>		Customer Number or Bar Code Label		022869		OR <input type="checkbox"/>		Correspondence address below							
Name															
Address															
City				State		ZIP									
Country			Telephone				Fax								
<p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>															
NAME OF SOLE OR FIRST INVENTOR :				<input type="checkbox"/> A petition has been filed for this unsigned inventor											
Given Name (first and middle [if any])				Chunhui		Family Name or Surname		Xu							
Inventor's Signature				<i>Chunhui Xu</i>		Date		5/4/01							
Residence: City		Cupertino		State		California		Country		US		Citizenship		CN	
Mailing Address														20200 Lucille Avenue #16	
City		Cupertino		State		California		ZIP		95014		Country		US	
NAME OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor											
Given Name (first and middle [if any])				Family Name or Surname											
Inventor's Signature				Date											
Residence: City				State				Country				Citizenship			
Mailing Address															
City				State				ZIP				Country			
<input type="checkbox"/> Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.															

COPY

PATENT
Docket No.: 091/200PCT

ASSIGNMENT

Whereas we, Melissa K. Carpenter, Walter D. Funk, Joseph D. Gold, Margaret S. Inokuma, and Chunhui Xu

executed employment agreements with Geron Corporation (hereinafter called Geron), a Delaware Corporation having its principal place of business at 230 Constitution Drive, Menlo Park, CA 94025, whereby we have agreed to assign to Geron all inventions (except as otherwise limited by law) which relate to Geron business and which were first conceived or actually reduced to practice during our employment by Geron;

Now, therefor, pursuant to the terms of said employment agreements and for good and valuable consideration, receipt of which is hereby acknowledged, we do hereby sell, assign and transfer unto Geron, its successors and assigns, the entire right, title and interest, including the right of priority in, to and under an application for Letters Patent of the United States entitled:

TECHNIQUES FOR GROWTH AND DIFFERENTIATION OF HUMAN PLURIPOTENT STEM CELLS

Serial No. PCT/US01/01030 filed on 10 January 2001 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of Geron, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Geron, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me in lending such cooperation and assistance are paid by Geron.

In witness whereof, we hereunto set our hands and seal:

Inventor's Signature: MK Carpenter Date: 2/2/01
Melissa K. Carpenter

Inventor's Signature: _____ Date: _____
Walter D. Funk

Inventor's Signature: Joseph D. Gold Date: 2/2/01
Joseph D. Gold

Inventor's Signature: Margaret S. Inokuma Date: 2/20/01
Margaret S. Inokuma

Inventor's Signature: Chunhui Xu Date: 2/13/01
Chunhui Xu

State of California

} ss.

County of San Mateo

Before me this 2nd day of February 2001 personally appeared
Melissa K. Carpenter personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.



Notary Stamp/Seal

Kmakusky
Notary Public

State of California

} ss.

County of San Mateo

Before me this 2nd day of February 2001 personally appeared
Joseph D. Gold personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.



Notary Stamp/Seal

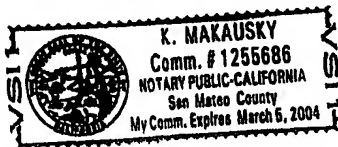
Kmakusky
Notary Public

State of California

} ss.

County of San Mateo

Before me this 20th day of February 2001 personally appeared
Margaret S. Inokuma personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.



Notary Stamp/Seal

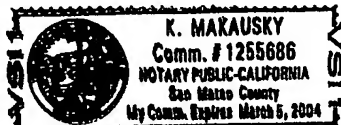
Kmakusky
Notary Public

State of California

} ss.

County of San Mateo

Before me this 13th day of February 2001 personally appeared
Chunhui Xu personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.



Notary Stamp/Seal

K. Makusky

Notary Public

1003956600T

ASSIGNMENT

Whereas we, Melissa K. Carpenter, Walter D. Funk, Joseph D. Gold, Margaret S. Inokuma, and Chunhui Xu

executed employment agreements with Geron Corporation (hereinafter called Geron), a Delaware Corporation having its principal place of business at 230 Constitution Drive, Menlo Park, CA 94025, whereby we have agreed to assign to Geron all inventions (except as otherwise limited by law) which relate to Geron business and which were first conceived or actually reduced to practice during our employment by Geron;

Now, therefor, pursuant to the terms of said employment agreements and for good and valuable consideration, receipt of which is hereby acknowledged, we do hereby sell, assign and transfer unto Geron, its successors and assigns, the entire right, title and interest, including the right of priority in, to and under an application for Letters Patent of the United States entitled:

TECHNIQUES FOR GROWTH AND DIFFERENTIATION OF HUMAN PLURIPOTENT STEM CELLS

Serial No. PCT/US01/01030 filed on 10 January 2001 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of Geron, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Geron, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me in lending such cooperation and assistance are paid by Geron.

In witness whereof, we hereunto set our hands and seal:

Inventor's Signature: _____ Date: _____
Melissa K. Carpenter

Inventor's Signature: _____ Date: 2.06.01
Walter D. Funk

Inventor's Signature: _____ Date: _____
Joseph D. Gold

Inventor's Signature: _____ Date: _____
Margaret S. Inokuma

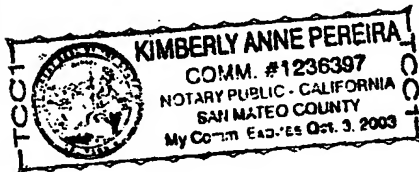
Inventor's Signature: _____ Date: _____
Chunhui Xu

1003956-102301

CALIFORNIA ALL-PURPOSE CERTIFICATE OF ACKNOWLEDGMENT

State of California
 County of Santa Clara

On 2-6-01 before me, Kimberly Anne Pereira
Date Name, Title of officer
 personally appeared Walter D. Funk
Name(s) of Signer(s)



☒ Personally known to me
 OR

☐ Proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

Kimberly Anne Pereira
 Signature of notary

OPTIONAL

The data below is not required by law, however it may prove valuable to persons relying on the document and could prevent fraudulent reattachment of this form.

SIGNATURE AUTHORITY OF SIGNER:

- ☐ INDIVIDUAL
☐ CORPORATE OFFICER(S)

Title(s)

- ☐ PARTNER
 ☐ LIMITED
 ☐ GENERAL
☐ ATTORNEY-IN-FACT
☐ TRUSTEE(S)
☐ GUARDIAN/CONSERVATOR
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NUMBER OF PAGES

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PTO/SB/81 (10-00)

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POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	[to be assigned]
Filing Date	May 16, 2001
First Named Inventor	Melissa K. Carpenter, et al.
Group Art Unit	[to be assigned]
Examiner Name	[to be assigned]
Serial Docket Number	091/006C

I hereby appoint:

☒ Practitioners at Customer Number

022869

OR

☐ Practitioner(s) named below:

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as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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Individual Name

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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

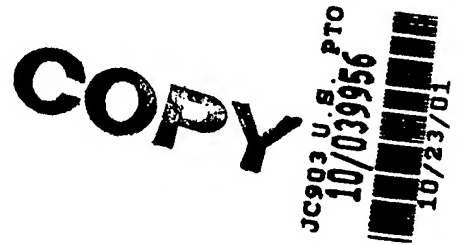
Name	David J. Earp, Registration No. 41,401 Vice President, Intellectual Property, Geron Corporation
Signature	<i>[Signature]</i>
Date	May 15, 2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 form is submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

STATEMENT UNDER 37 CFR 3.73(b)



Applicant/Patent Owner: Geron Corporation

Application No./Patent No.: *[to be assigned]*

Filing Date: May 16, 2001


Entitled: TECHNIQUES FOR GROWTH AND DIFFERENTIATION OF HUMAN PLURIPOTENT STEM CELLS

GERON CORPORATION, a corporation, states that it is the assignee of the entire right, title, and interest in the patent application/patent identified above by virtue of:

An assignment from the inventors of parent application PCT/US01/01030, a true copy of which is attached hereto.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

May 15, 2001
Date


Signature

David J. Earp, Reg. No. 41,401
Typed or printed name

Vice President, Intellectual Property
Title